



**First Fidelity Capital (International) Limited**

首信資本集團有限公司全資附屬公司

(SFC CE No. 證監會中央編號: AMS441)

## **First Fidelity Capital (International) Limited**

### **Client's Agreement and Account Opening Form** **客戶協議書及開戶申請書**

#### **INDIVIDUAL / JOINT ACCOUNT** **個人 / 聯名帳戶**

Room 1405, 14/F, Allied Kajima Building, 138 Gloucester Road, Wanchai, Hong Kong

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**CLIENT'S AGREEMENT**  
**客戶協議書**

THIS AGREEMENT is made between the following parties on the date stated in the Account Opening Form:

本協議由下列雙方於開戶申請書所載的日期簽訂：

Party A : **First Fidelity Capital (International) Limited** (CE No. AMS441), being a Licensed Corporation to carry on Type 1 (Dealing in Securities), Type 4 (Advising on Securities) and Type 9 (Asset Management) regulated activities (for Type 9 regulated activity, services shall only be provided to professional investors) pursuant to the Securities and Futures Ordinance Cap. 571 and an Exchange Participant of the SEHK, whose registered address is located at Room 1405, 14/F, Allied Kajima Building, 138 Gloucester Road, Wanchai, Hong Kong (the "Company" or "FFCIL");

甲方 : **First Fidelity Capital (International) Limited** (中央編號 AMS441), 是根據《證券及期貨條例》(第 571 章)獲發牌進行第 1 類(證券交易)、第 4 類(就證券提供意見)及第 9 類(提供資產管理)受規管活動的持牌法團(就第 9 類受規管活動而言只可向專業投資者提供服務)及聯交所之交易所參與者, 其註冊辦事處設於香港灣仔告士打道 138 號聯合鹿島大廈 14 樓 1405 室(下稱「本公司」或「FFCIL」);  
and 及

Party B : The client with the name, address and details information as stated in the Account Opening Form

乙方 : 姓名、地址及詳細資料載於開戶申請書中的客戶

WHEREAS 鑒於：

- (1) The Client is desirous of opening one or more cash accounts (the "Account") with the Company from time to time for the purpose of trading in securities; and 戶欲於本公司不時開立一個或多個現金戶口(「帳戶」), 用以進行證券買賣; 及
- (2) The Company agrees that it will open and maintain such Account and act as an agent for the Client in purchase and sale of securities subject to the terms and conditions of this Agreement. 本公司同意開立及維持上述戶口, 並在證券買賣中根據本協議之條款擔任客戶之代理人。

NOW IT IS HEREBY AGREED as follows 雙方謹此協議下：

**1. THE ACCOUNT 戶口**

The client confirm that the information provided in the Account Opening Form is complete and accurate. Client will inform FFCIL of any changes to that information. FFCIL are authorized to conduct credit enquiries on client to verify the information provided. 閣下確認「開戶資料表格」所載資料均屬完整及正確。倘該等資料有任何變更, 閣下將會通知 FFCIL。閣下特此授權 FFCIL 對閣下的信用進行查詢, 以核實上述表格所載資料。FFCIL will keep information relating to client Account confidential, but may provide any such information to the Exchange and the SFC to comply with their requirements or requests for information. FFCIL 將會對閣下戶口的有關資料予以保密, 但 FFCIL 可以根據聯交所及證監會的規定或應其要求, 將該等資料提供予聯交所及證監會。

**2. LAW AND RULES 法例及規則**

All transactions in securities which FFCIL effect on client instruction ("Transaction") shall be effect in accordance with all laws, rules and regulatory directions applying to client. This includes the rules of the Exchange and of the Hong Kong Securities Clearing Company Limited ("HKSCC"). All actions taken by FFCIL in accordance with such laws, rules and directions shall be binding on client. FFCIL 按閣下的指示而進行的一切證券交易(「交易」), 須根據適用於閣下的一切法例、規則和監管指示的規定而進行。這方面的規定包括聯交所及香港中央結算有限公司(「中央結算」)的規則。FFCIL 根據該等法例、規則及指示而採取的所有行動均對閣下具有約束力。

**3. TRANSACTIONS 交易**

FFCIL will act as client agent in effecting Transactions unless FFCIL indicate (in the contract note for the relevant Transaction or otherwise) that you are acting as principal. 除 FFCIL(在有關交易的成交單或其他合約單據內)註明以自己本身名義進行交易外, FFCIL 將以閣下的代理人身份進行交易。

Client will notify FFCIL when a sale order relates to securities which client do not own i.e., involves short selling. 倘沽盤是有關非由閣下擁有的證券, 即涉及賣空交易, 閣下將會通知 FFCIL。

On all Transactions, Client will pay FFCIL commissions and charges, as notified to client, as well as applicable levies imposed by the Exchange, and all applicable stamp duties. FFCIL may deduct such commissions, charges, levies and duties from the Account. 閣下會就所有交易支付 FFCIL 通知閣下的佣金和收費, 繳付聯交所徵收的適用徵費, 並繳納所有有關的印花稅, FFCIL 可以從戶口中扣除該等佣金、收費、徵費及稅項。

FFCIL may elect in respect of all its clients to set-off, on a client-by-client basis, any amount receivable from, and amount payable to, a client where such amounts arise from the purchase and sale of securities by the client on a cash-against-delivery basis, and the FFCIL has obtained from the client a written authorization to: -

FFCIL 可就其所有客戶, 選擇就逐一客戶將應從某客戶收取的款項與應向閣下支付的款項互相抵銷, 但該等款項須是因閣下以銀貨兩訖形式買賣證券而產生的, 而 FFCIL 亦已獲閣下書面授權:-

- a) set-off such amounts against each other; and 將該等款項互相抵銷; 及
- b) dispose of securities held for the client for the purpose of settling any of the amounts payable by the client to the FFCIL 為清償閣下應支付予 FFCIL 的款項而處置為閣下持有的證券。

Client will be responsible to FFCIL for any losses and expenses resulting from my/our settlement failures. 閣下將會負擔 FFCIL 因閣下等未能進行交收而引起的任何損失及開支。

Client agrees to pay interest on all overdue balance (including interest arising after a judgement debt is obtained against me/ us) at such rates as demanded by FFCIL and be calculated and payable on the last day of each calendar month or upon any demand being made by FFCIL. 閣下同意就所有逾期未付款項(包括對閣下裁定的欠付債務所引起的利息), 按 FFCIL 要求之利率計算, 於每月月底計算及繳付; 或於 FFCIL 進討時繳付。

In the case of a purchase transaction, if the selling broker fails to deliver on the settlement date and FFCIL have to purchase securities to settle the Transaction, Client shall not be responsible to FFCIL for the costs of such purchase. 就買入交易而言, 倘賣方經紀未能於交收日內交付證券, 導致 FFCIL 須買入證券進行交收, 閣下毋須為買入該等證券的費用向 FFCIL 負責。

**4. SAFEKEEPING OF SECURITIES 證券的保管**

Any securities which are held by FFCIL for safekeeping may, at FFCIL discretion:

由 FFCIL 寄妥為保管的任何證券, FFCIL 可以酌情決定:

- (in the case of registrable securities) be registered in my/our name or in the name of your nominee; or (如屬可註冊證券)以閣下的名義或以閣下的代理人名義註冊; 或



- be deposited in safe custody in a designated account with FFCIL's bankers or with any other institution which provides facilities for the safe custody of documents. In the case of securities in Hong Kong, such institution shall be acceptable to the SFC as a provider of safe custody services. 存放於 FFCIL 的往來銀行或提供文件保管設施的任何其他機構妥為保管。如屬香港的證券，該機構應為證監會認可的提供保管服務機構。

Where securities are not registered in client name, any dividends or other benefits arising in respect of such securities shall, when received by you, be credited to client Account or paid or transferred to client, as agreed with FFCIL. Where the securities form part of a larger holding of identical securities held for FFCIL clients, Client shall be entitled to the same share of the benefits arising on the holding as client share of the total holding. 倘證券未以閣下的名義註冊，FFCIL 於收到該等證券所獲派的任何股息或其他利益時，須按閣下與 FFCIL 的協議記入閣下的戶口或支付予或轉賬予閣下。倘該等證券屬於 FFCIL 代客戶持有較大數量的同一證券的一部份，閣下有權按閣下所佔的比例獲得該等證券的利益。

FFCIL do not have client written authority under the Securities and Futures (Client Securities) Rules of the Securities and Futures Ordinance to 閣下並無根據《證券及期貨條例》之《證券及期貨(客戶證券)規則》以書面授權 FFCIL：

- deposit any of your securities with a banking institution as collateral for an advance or loan made to FFCIL, or with the HKSCC as collateral for the discharge of FFCIL obligations under the clearing system. 將閣下的任何證券放在銀行業機構，作為 FFCIL 所獲墊支或貸款的抵押品，或者存放在中央結算，作為履行結算系統下之責任的抵押品。
- borrow or lend any of your securities. 借貸閣下的任何證券。
- otherwise part with possession (except to client or on client instructions) of any of client securities for any purpose. 基於任何目的以其他方式放棄閣下的任何證券之持有權(交由閣下持有或按閣下的指示放棄持有權除外)。

## 5. CASH HELD FOR CLIENT 代閣下保管的現金

Any cash held for client, other than cash received by FFCIL in respect of Transactions and which is on-paid for settlement purposes or to client, shall be credited to a client trust account maintained with a licensed bank as required by applicable laws from time to time. 代閣下保管的現金須依照適用法律不時的規定，存放於一家持牌銀行所開立的一個客戶信託賬戶內(此等現金不包括 FFCIL 就交易取得，而且須為交收而轉付或轉付予閣下的現金)。

## 6. RISK DISCLOSURE STATEMENT 風險披露聲明書

### Risk of Securities Trading 證券交易的風險

Client acknowledge that the price of securities can and does fluctuate, and any individual security may experience upwards or downwards movements, and may even become valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities. 閣下等知道證券價格可能及必定會波動，任何個別證券的價格皆可上升或下跌，甚至可能變成毫無價值。買賣證券不一定獲利，而且存在著可能損失的風險。

### Risk of Trading Growth Enterprise Market Stocks 買賣創業板股份的風險

Growth Enterprise Market (GEM) stocks involve a high investment risk. In particular, companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. GEM stocks may be very volatile and illiquid. Client should make the decision to invest only after due and careful consideration. The greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors. Current information on GEM stocks may only be found on the internet website operated by The Stock Exchange of Hong Kong Limited (the "HKEX"). GEM Companies are usually not required to issue paid announcements in gazetted newspapers. Client should seek independent professional advice if client is uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM stocks.

創業板股份涉及很高的投資風險。尤其是該等公司可在無需具備盈利往績及無需預測未來盈利的情况下在創業板上市。創業板股份可能非常波動及流通性很低。閣下只應在審慎及仔細考慮後，才作出有關的投資決定。創業板市場的較高風險性質及其他特點，意味著這個市場較適合專業及其他熟悉投資技巧的投資者。現時有關創業板股份的資料只可以在香港聯合交易所有限公司(「聯交所」)所操作的互聯網網站上找到。創業板上市公司一般毋須在憲報指定的報章刊登付費公告。假如閣下對本風險披露聲明的內容或創業板市場的性質及在創業板買賣的股份所涉風險有不明白之處，應尋求獨立的专业意見。

### Risks of Client Assets Received or Held outside Hong Kong 在香港以外地方收取或持有的客戶資產的風險

Client assets received or held by FFCIL outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong. FFCIL 在香港以外地方收取或持有的客戶資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》(第 571 章)及根據該條例制訂的規則可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

### Risk of Providing an Authority to Hold Mail or to Direct Mail to Third Parties 提供代存郵件或將郵件轉交第三方的授權書的風險

If client provide FFCIL with an authority to hold mail or to direct mail to third parties, it is important for you to promptly collect in person all contract notes and statements of your account and review them in detail to ensure that any anomalies or mistakes can be detected in a timely fashion. 假如閣下向 FFCIL 提供授權書，允許我們代存郵件或將郵件轉交予第三方，那麼閣下便須盡速親身收取所有關於閣下帳戶的成交單據及結單，並加以詳細閱讀，以確保可及時偵察到任何差異或錯誤。

### Risk of Trading Nasdaq-Amex Securities at the HKEX 在聯交所買賣納斯達克－美國證券交易所證券的風險

The securities under the Nasdaq-Amex Pilot Program ("PP") are aimed at sophisticated investors. Client should consult the FFCIL and become familiarised with the PP before trading in the PP securities. Client should be aware that the PP securities are not regulated as a primary or secondary listing on the Main Board or the GEM of the HKEX. 按照納斯達克－美國證券交易所試驗計劃(「試驗計劃」)掛牌買賣的證券是為熟悉投資技巧的投資者而設的。閣下在買賣該項試驗計劃的證券之前，應先諮詢 FFCIL 的意見和熟悉該項試驗計劃。閣下應知悉，按照該項試驗計劃掛牌買賣的證券並非以香港聯合交易所有限公司的主板或創業板作第一或第二上市的證券類別加以監管。

### Risk of Initial Public Offering (IPO) Investment 新股認購之風險

#### 1) Over-subscribing to an IPO 認購高於投資者的需要

In some cases, IPOs may be oversubscribed. The company may go through a balloting or allocation process to determine whether an investor will receive any securities and if so, in what quantity. An investor may be tempted to subscribe for a greater quantity than he intended to, believing that he will not receive the full amount in case of over-subscription. However, if the IPO is not oversubscribed, the investor will receive all the quantity applied for and will have to pay the full cost. 有時新股配售會出現超額認購的情況。有見及此，有關公司需要設定配售股份過程，揀選投資者、決定配售數量。投資人土因擔心未必會完全獲取其認購數量，可能會認購多於自己的實際需要股份數量。但假如是次招股行動並沒有超額認購，投資者將會獲得所有認購的數量，及需要繳付有關申請之全數費用。



2) **Market Risk 認購風險**

Investments involves risk, company's share prices can fluctuate, and may drop below its initial IPO price. You should carefully consider whether any investment products or services mentioned herein are appropriate for you in view of your investment experience, objectives, financial resources and relevant circumstances. 投資涉及風險，新股價格可升可跌，亦有機會跌破招股價。您應就本身的投資經驗、投資目標、財政資源及其他相關條件，小心衡量自己是否適合參與本資料概要提及的任何投資產品或服務。

3) **Company Risk 業務風險**

It is vital to understand the company and the business of the investment. You should thoroughly study the prospectus, financial reports and even seek professional advice before making investment decisions. 決定投資之前，您應了解有關公司之業務性質，徹底細讀其發售章程、銷售文件、單張概要、公司財務報告，甚至尋求專業人士的意見。

**Internet Risk 互聯網的風險**

Since FFCIL does not control signal power, its reception or routing via internet, configuration of client equipment or reliability of its connection, we cannot be responsible for communication failures, distortions or delays when trading online (via internet). Trading currencies involves substantial risk that is not suitable for everyone. Although, trading online is convenient or efficient, it does not necessarily reduce risks associated with currency trading. Client should recognize that foreign exchange trading spot prices may vary from institution to institution and from minute to minute which may arise, including without limitation, as a result of a time lag in data transmission, and that it may prove impossible to effect trades even at advertised prices. Thus, you agree to accept that such prices as FFCIL may offer from time to time are the best prices then available. 由於 FFCIL 無法控制互聯網的訊號、接收或線路，以及閣下的設備配置或連接的可靠性，因此不會對因透過互聯網進行的網上交易中出現的通訊故障、失實或延誤負責。外匯交易牽涉相當大的風險，並非適合每一個人。不論網上交易如何方便和快捷，並不會減少外匯交易所涉及的風險。閣下需理解外匯交易價格在不同機構和不同時刻都可能發生變化，結果可能包括但不限於因資訊傳遞的延遲導致，甚至不可能在已公佈的價格完成交易。因此閣下同意接受 FFCIL 不時向其提供的價格是當時最好的價格。

**Trading Facilities 交易設施**

Electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Client's ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or participant firms. Such limits may vary; you should ask FFCIL for details in this respect. 電子交易的設施是以電腦組成系統來進行交易指示傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而閣下就此所能獲得的賠償或會受制於系統供應商、市場、結算所及/或參與者商號就其所承擔的責任所施加的限制。由於這些責任限制可以各有不同，你應向為 FFCIL 查詢這方面的詳情。

**Electronic Trading 電子交易**

Trading on an electronic trading system may differ from trading on other electronic trading systems. If client undertake transactions on an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instructions or is not executed at all. 透過某個電子交易系統進行買賣，可能會與透過其他電子交易系統進行買賣有所不同。如果閣下透過某個電子交易系統進行買賣，便須承受該系統帶來的風險，包括有關系統硬件或軟件可能會失靈的風險。系統失靈可能會導致你的交易指示不能根據指示執行，甚或完全不獲執行。

FFCIL and other investment-related information providers endeavor to ensure the accuracy and reliability of the real time and/or delayed quotes from the Hong Kong Stock Exchange and related investment information provided, but do not guarantee its accuracy and reliability. FFCIL and other investment-related information providers accept no liability for any loss or damage arising from any inaccuracy or omission or from any decision, action or non-action based on or in reliance upon the forecasted real time and/or delayed quotes and related investment information. FFCIL 及提供相關投資資訊機構會盡力確保香港交易所即時及/或延遲報價及相關投資資訊之準確性及可靠性，但不保證該資料之準確性及可靠性。閣下若因根據上述即時及/或延遲報價及相關投資資訊的不準確或遺漏而作出任何決定、行動或不作出行動而蒙受任何損失或損害，FFCIL 及提供相關投資資訊機構一概毋須負責。

**Risks of Trading in Derivative Products 衍生產品之風險披露聲明**

1) **Equity Linked Instruments 股票掛鈎票據**

The buyer of the equity linked instrument(s) (the "ELI(s)") is investing in the issuer's ability to repay the sum invested upon maturity. Certain ELIs may also carry features that tie the repayment amount to the market value of an underlying instrument or asset. As a result, the repayment value of the ELIs may vary according to the market price of the underlying instrument or asset. 購買股票掛鈎票據之人士實際上是投資於發行人於到期日之還本能力。某類股票掛鈎票據可能附帶其還款額跟有關工具或資產之市場價值掛鈎之特性。因此這些股票掛鈎票據贖回金額可能根據相關工具或資產之市價而有所改變。

Investing in certain types of ELIs may result in client having to take or make delivery of any underlying asset or financial instrument at a predetermined price. In such circumstances, client will need to perform such obligation however far the market price of the underlying asset or financial instrument has moved away from the pre-determined price. Therefore, the losses will be equal to the unfavourable movement of market prices and can be substantial. 某類股票掛鈎票據可能引致你須於既定價格購入或交付相關之資產或金融工具。在此等情況下，閣下將要在不論相關資產或金融工具市價偏離既定價格多遠之情況下履行責任。因此損失將等於市價向不利方向之變動，損失可能很大。

If the ELI has been used as collateral for margin by you and market price of the underlying asset or financial instrument has moved unfavourably away from the pre-determined price, the ELI may be liquidated without prior notice to client. 如股票掛鈎票據已被你用作融資抵押品，而相關之資產或金融工具市價向不利方向變動，該股票掛鈎票據可能在未向閣下事先通知之情況下被賣出。

2) **Liquidity Risks 流通性風險**

The secondary market for Derivative Products may not always be liquid. Accordingly, you may not be able to transfer the Derivative Product or any interest therein or realize any amount in respect of the Derivative Product prior to its maturity. Client further acknowledge and agree that FFCIL makes no representation that you may sell the Derivative Product or any part thereof back to FFCIL prior to or after its maturity. 衍生產品之第二市場可能不是常有高流通性。因此閣下可能於衍生產品到期日前不能轉讓或變現該等衍生產品或當中之權益。閣下再次聲明並同 FFCIL 並無表示你於衍生產品到期前及到期後可部份或全部賣回給 FFCIL。

3) **Market Risks 市場風險**

While Derivative Transactions entered into by client pursuant to this Agreement would normally be over-the-counter or exchange-traded transactions, the underlying assets of certain Derivative Products may or may not be exchange-traded securities or other financial products, e.g. an exchange-traded futures contract or option. Upon physical settlement of such a Derivative Transaction, you may acquire the relevant securities or an open position in respect of such exchange-traded product and would be exposed to the risks associated therewith. You should therefore be aware of and understand the risk associated with such exchange-traded products. 閣下根據本協議進行之衍生工具買賣一般是於場外或交易所內進行，而此衍生產品之相關資產可能是或不是上市證券或其他金融工具，例如期貨合約或期權。當此等衍生交易須進行實物交收時，閣下可能須購入相關證券或未平倉合約，因而須要承擔其相關風險。因此閣下應先了解此類上市產品之有關風險。



Market conditions (e.g. illiquidity) and/or the operation of rules of certain markets (e.g. the suspension of trading in any securities or any contract or contract month because of price limits or circuit breakers) may increase the risk of loss by making it difficult or impossible to effect transactions or liquidate or offset positions. 市場情況(例如市場流通量不足)及 / 或某些市場規則的施行(例如因價格限制或停板措施而暫停任何合約或合約月份的交易), 都可以增加虧損風險, 這是因為投資者屆時將難以或無法執行交易或平掉 / 抵銷持倉。

Further, normal pricing relationships between the underlying asset and the futures contract or between the underlying asset and the option may not exist. This can occur when, for instance, the futures contract underlying an option is subject to price limits while the option is not. The absence of any underlying reference price may make it difficult to judge fair value of a Derivative Transaction. 此外, 相關資產與期貨合約之間以及相關資產與期權之間的正常價格關係可能並不存在。例如, 期權所涉及的期貨合約須受價格限制所規限, 但期權本身則不受其規限。缺乏相關資產參考價格會導致投資者難以判斷衍生交易的公平價格。

4) Transactions in Other Jurisdictions 在其他司法管轄區進行交易

Transactions involving markets in other jurisdictions, including markets formally linked to a domestic market, may expose client to additional risk. Such market may be subject to regulation which may offer different or diminished investor protection. Before trading, Client should enquire about any rules relevant to your particular transactions. Your local regulatory authority will be unable to compel the enforcement of the rules of regulatory authorities or markets in other jurisdictions where your transactions have been effected. You should ask FFCIL for details about the types of redress available in both Hong Kong and other relevant jurisdictions before starting to trade. 在其他司法管轄區的市場(包括與本地市場有正式連繫的市場)進行交易, 或會涉及額外的風險。根據這些市場的規例, 投資者享有的保障程度可能有所不同, 甚或有所下降。在進行交易前, 閣下應先行查明有關你將進行的該項交易的所有規則。閣下本身所在地的監管機構, 將不能迫使你在已執行的交易所在地的所屬司法管轄區的監管機構或市場執行有關的規則。有鑑於此, 在進行交易之前, 閣下應先向 FFCIL 查詢閣下本身地區所屬的司法管轄區及其他司法管轄區可提供哪種補救措施及有關詳情。

5) Counterparty/Issuer Risk 交易對手/發行人風險

FFCIL is acting as agent for client in connection with any Derivative Transaction entered into by you under this Agreement with a third party. The rights and obligations under a Derivative Transaction are exclusively between the issuer of the Derivative Product or the counterparty to the Derivative Transaction and you. According to you, you are exposed to the credit and other risks of the issuer of the Derivative Product or the counterparty to the Derivative Transaction. FFCIL has not conducted and will not conduct due diligence on the issuer or the counterparty and makes no representation whatsoever as to the issuer's or counterparty's creditworthiness or otherwise. FFCIL 根據本合約以代理人身份代表閣下向第三者進行衍生工具交易。有關衍生工具之權利及責任全屬於閣下與衍生產品發行人或衍生交易對手之間。因此閣下須承擔及面對衍生工具發行人或交易對手之信用及其他風險。FFCIL 並無, 亦不會對發行人或交易對手進行仔細查證。亦無在此對發行人或交易對手之信用及其他方面表示任何意見。

**Risks of Exchange Traded Derivative Products (e.g. Derivative Warrants, Callable Bull/Bear Contracts)**

**在交易所買賣的衍生產品所附帶的風險(例如: 衍生權證、牛熊證)**

1) Issuer Default Risk 發行人失責風險

In the event that a derivative product issuer becomes insolvent and defaults on their listed securities, investors will be considered as unsecured creditors and will have no preferential claims to any assets held by the issuer. Investors should therefore pay close attention to the financial strength and credit worthiness of derivative product issuers. 倘若衍生產品發行人破產而未能履行其對所發行證券的責任, 投資者只被視為無抵押債權人, 對發行人任何資產均無優先索償權。因此, 投資者須特別留意衍生產品發行人的財力及信用。

2) Uncollateralised Product Risk 非抵押產品風險

Uncollateralised derivative products are not asset backed. In the event of issuer bankruptcy, investors can lose their entire investment. Investors should read the listing documents to determine if a product is uncollateralised. 非抵押衍生產品並沒有資產擔保。倘若發行人破產, 投資者可以損失其全數投資。要確定產品是否非抵押, 投資者須細閱上市文件。

3) Gearing Risk 槓桿風險

Derivative products such as derivative warrants ("Warrants") and callable bull/bear contracts ("CBBCs") are leveraged and can change in value rapidly according to the gearing ratio relative to the underlying assets. Investors should be aware that the value of a derivative product may fall to zero resulting in a total loss of the initial investment. 衍生產品如衍生權證(「權證」)及牛熊證均是槓桿產品, 其價值可按相對相關資產的槓桿比率而快速改變。投資者須留意, 衍生產品的價值可以跌至零, 屆時當初投資的資金將會盡失。

4) Expiry Considerations 有效期的考慮

Derivative products have an expiry date after which the issue may become worthless. Investors should be aware of the expiry time horizon and choose a product with an appropriate lifespan for their trading strategy. 衍生產品設有到期日, 到期後的產品即一文不值。投資者須留意產品的到期時間, 確保所選產品尚餘的有效期能配合其交易策略。

5) Extraordinary Price Movements 特殊價格移動

The price of a derivative product may not match its theoretical price due to outside influences such as market supply and demand factors. As a result, actual traded prices can be higher or lower than the theoretical price. 衍生產品的價格或會因為外來因素(如市場供求)而有別於其理論價, 因此實際成交價可以高過亦可以低過理論價。

6) Foreign Exchange Risk 外匯風險

Investors trading derivative products with underlying assets not denominated in Hong Kong dollars are also exposed to exchange rate risk. Currency rate fluctuations can adversely affect the underlying asset value, also affecting the derivative product price. 若投資者所買賣衍生產品的相關資產並非以港幣為單位, 其尚要面對外匯風險。貨幣兌換率的波動可對相關資產的價值造成負面影響, 連帶影響衍生產品的價格。

7) Liquidity Risk 流通量風險

The Exchange requires all derivative product issuers to appoint a liquidity provider for each individual issue. The role of liquidity providers is to provide two-way quotes to facilitate trading of their products. In the event that a liquidity provider defaults or ceases to fulfill its role, investors may not be able to buy or sell the product until a new liquidity provider has been assigned. 聯交所規定所有衍生產品發行人要為每一隻個別產品委任一名流通量提供者。流通量提供者的職責在為產品提供兩邊開盤方便買賣。若有流通量提供者失責或停止履行職責, 有關產品的投資者或就不能進行買賣, 直至有新的流通量提供者委任出來止。

8) Market Risk 市場風險

Derivative Products may also be exposed to the economic, political, currency, legal and other risks of a specific sector or market related to the single stock, basket of stocks, index, currency, commodity or futures contract that it is tracking. 衍生產品或需承受產品所跟蹤的單一或一籃子的股票、某股票指數、貨幣、商品或期貨合約的相關行業或市場內出現的經濟、政治、貨幣、法律及其他風險。



### **Some Additional Risks Involved in Trading Warrants 買賣權證的一些額外風險**

- 1) Time Decay Risk 時間損耗風險  
All things being equal, the value of a Warrant will decay over time as it approaches its expiry date. Warrants should therefore not be viewed as long term investments. 假若其他情況不變，權證愈接近到期日，價值會愈低，因此不能視為長線投資。
- 2) Volatility Risk 波幅風險  
Prices of Warrants can increase or decrease in line with the implied volatility of underlying asset price. Investors should be aware of the underlying asset volatility. 權證的價格可隨相關資產價格的引伸波幅而升跌，投資者須注意相關資產的波幅。
- 3) Market Risk and Turnover 市場風險及成交額  
Other than basic factors that determine the theoretical price of a Warrant, Warrant price are also affected by all prevailing market forces including the demand for and supply of the Warrants. The market forces will be greatest when a Warrant issue is almost sold out and when issuers make further issues of an existing Warrant issue. High turnover should not be regarded as an indication the price of a Warrant will go up. The price of a Warrant is affected by a number of factors in addition to market forces, such as the price of the underlying assets and its volatility, the time remaining to expiry, interest rates and the expected dividend on the underlying assets. 除了決定權證理論價格的基本因素外，權證價格亦會受權證本身在市場上的供求影響，尤其權證在市場上快將售罄又或發行商增發權證時。權證成交額高不應認為其價值會上升，除了市場力量外，權證的價值還受其他因素影響，包括相關資產價格及波幅、剩餘到期時間、利率及預期股息。

### **Some Additional Risks Involved in Trading CBBCs 買賣牛熊證的一額外風險**

- 1) Mandatory Call Risk 強制收回風險  
Investors trading CBBCs should be aware of their intraday “knockout” or mandatory call feature. A CBBC will cease trading when the underlying asset value equals the mandatory call price/level as stated in the listing documents. Investors will only be entitled to the residual value of the terminated CBBC as calculated by the product issuer in accordance with the listing documents. Investors should also note that the residual value can be zero. 投資者買賣牛熊證，須留意牛熊證可以即日「取消」或強制收回的特色。若牛熊證的相關資產價值等同上市文件所述的強制收回價／水平，牛熊證即停止買賣。屆時，投資者只能收回已停止買賣的牛熊證由產品發行商按上市文件所述計算出來的剩餘價值(注意：剩餘價值可以是零)。
- 2) Funding Costs 融資成本  
The issue price of a CBBC includes funding costs. Funding costs are gradually reduced over time as the CBBC moves towards expiry. The longer the duration of the CBBC, the higher the total funding costs. In the event that a CBBC is called, investors will lose the funding costs for the entire lifespan of the CBBC. The formula for calculating the funding costs are stated in the listing documents. 牛熊證的發行價已包括融資成本。融資成本會隨牛熊證接近到期日而逐漸減少。牛熊證的年期愈長，總融資成本愈高。若一天牛熊證被收回，投資者即損失牛熊證整個有效期的融資成本。融資成本的計算程式載於牛熊證的上市文件。
- 3) Trading of CBBC Close to Call Price 接近收回價時的交易  
When the underlying asset is trading close to the call price, the price of a CBBC may be more volatile with wider spreads and uncertain liquidity. CBBC may be called at any time and trading will terminate as a result. However, the trade inputted by the investor may still be executed and confirmed by the Exchange participants after the Mandatory Call Event (“MCE”) since there may be some time lapse between the MCE time and suspension of the CBBC trading. Any trades executed after the MCE will not be recognised and cancelled. Therefore, investors should be aware of the risk and ought to apply special caution when the CBBC is trading close to the call price. 相關資產價格接近收回價時，牛熊證的價格可能會變得更加波動，買賣差價可能會轉闊，流通量亦可能減低。牛熊證隨時會被收回而交易終止。由於強制收事件發生的時間與牛熊證實際停止買賣之間可能會有一些時差。有一些交易或會在強制收事件發生後才達成及被交易所參與者確認，但任何在強制收事件後始執行的交易將不被承認並會被取消。因此投資者買賣接近收回價的牛熊證時需額外小心。

### **Risks of Trading Synthetic Exchange Traded Funds 買賣合成交易所買賣基金(ETFs)的風險**

Unlike traditional Exchange traded Funds (“ETFs”), Synthetic ETFs do not buy the assets in their benchmark. Instead, they typically invest in financial derivative instruments to replicate the benchmark’s performance. Investment in Synthetic ETFs involves high risk and is not suitable for every investor. Investors should understand and consider the following risks before trading Synthetic ETFs. 有別於傳統型交易所買賣基金，合成 ETFs 並不買相關基準的成分資產，一般都是透過金融衍生工具去複製相關基準的表現。投資合成 ETFs 涉及高風險，並非人皆適合，投資者買賣合成 ETFs 前必須請認明及考慮以下的風險。

- 1) Market Risk 市場風險  
ETFs are typically designed to track the performance of certain indices, market sectors, or group of assets such as stocks, bonds, or commodities. Investors are exposed to the political, economic, currency and other risks related to the ETF’s underlying index/assets it is tracking. Investment must be prepared to bear the risk of loss and volatility associated with the underlying index/asset. 交易所買賣基金主要為追蹤某些指數、行業／領域又或資產組別(如股票、債券或商品)的表現。投資者會承受 ETFs 相關指數／資產有關的政治、經濟、貨幣及其他風險。投資者必須要有因為相關指數／資產的波動而受損失的準備。
- 2) Counterparty Risk 交易對手風險  
Where a Synthetic ETF invests in derivatives to replicate the index performance, investors are exposed to the credit risk of the counterparties who issued the derivatives, in addition to the risks relating to the index. Further, potential contagion and concentration risks of the derivatives issuers should be taken into account (e.g. since derivative issuers are predominantly international financial institutions, the failure of one derivative counterparty of Synthetic ETF may have a “knock-on” effect on other derivative counterparties of the Synthetic ETFs). Some Synthetic ETFs have collateral to reduce the counterparty risk, but there may be a risk that the market value of the collateral has fallen substantially when the Synthetic ETF seeks to realise the collateral. 若合成 ETFs 投資於衍生工具以追蹤指數表現，投資者除了會承受與指數有關的風險外，亦會承受發行有關衍生工具的交易對手的信貸風險。此外，投資者亦應考慮有關衍生工具發行人的潛在連鎖影響及集中風險(例如由於衍生工具發行人主要是國際金融機構，固此若合成 ETFs 的其中一個衍生工具且交易對手倒閉，便可能對該合成 ETFs 的其他衍生工具交易對手產生「連鎖」影響)。有些合成 ETFs 備有抵押品以減低交易對手風險，但仍要面對當合成 ETFs 的抵押品被變現時，抵押品的市值可能已大幅下跌的風險。
- 3) Liquidity Risk 流動性風險  
There is no assurance that a liquid market exists for an ETF. A higher liquidity risk is involved if a Synthetic ETF involves derivatives which do not have an active secondary market. Wider bid-offer spreads in the price of derivatives may result in losses. Therefore, they can be more difficult costly to unwind early, when the instruments provide access to a restricted market where liquidity is limited. 交易所買賣基金雖然在相關交易所上市買賣，但這並不保證該基金必定有流通的市場。若合成 ETFs 涉及的衍生工具沒有活躍的第二市場，流動性風險會更高。較大的衍生工具的買賣差價亦會引致虧損。而要提早解除這些工具的合約比較困難、成本也較高，尤其若市場設有買賣限制、流通量也有限，解除合約便更加困難。
- 4) Tracking Error Risk 追蹤誤差風險



There may be disparity between the performance of the ETFs and the performance of the underlying index due to, for instance, failure of the tracking strategy, currency differences, fees and expenses. ETFs 及相關指數的表現可能不一致。原因，舉例來說，可能是模擬策略失效、匯率、收費及支出等因素。

5) Trading at a Discount or Premium 以折讓或溢價買賣

Where the index/ market that the ETF tracks is subject to restricted access, the efficiency in unit creation or redemption to keep the price of the ETFs in line with its net asset value (NAV) may be disrupted, causing the ETF to trade at a higher premium or discount to its NAV. Investors who buy an ETF at a premium may not be able to recover the premium in the event of termination.

若 ETFs 所追蹤的指數／市場就投資者的參與設有限制，則為使 ETFs 的價格與其資產淨值一致的增設或贖回單位機制的效能可能會受到影響，令 ETF 的價格相對其資產淨值出現溢價或折讓。投資者若以溢價買入 ETF，在基金終止時可能無法收回溢價。

6) Foreign Exchange Risk 外匯風險

Investors trading ETFs with underlying assets not denominated in Hong Kong dollars are also exposed to exchange rate risk. Currency rate fluctuations can adversely affect the underlying asset value, also affecting the ETFs price. 若投資者所買賣的交易所買賣基金的相關資產並非以港幣為單位，其尚要面對外匯風險。貨幣兌換率的波動可對相關資產的價值造成負面影響，連帶影響交易所買賣基金的價格。

**Some Risks of Trading in Leveraged and Inverse Products 買賣槓桿產品或反向產品的一些相關風險**

Leveraged and Inverse Products (“L&I Products”) are issued in the form of ETFs as a type of collective investment schemes but they are in fact derivative products. 槓桿產品或反向產品是指以 ETFs 形式發行的一種集體投資計劃，但事實上它們是一種衍生工具產品。

Leveraged Products typically aim to deliver a daily return equivalent to a multiple of the underlying index return that they track. Inverse Products typically aim to deliver the opposite of the daily return of the underlying index that they track. In overseas markets, they are commonly known as Leveraged and/or Inverse ETFs. 槓桿產品的目標一般在提供實現相當於所追蹤相關指數回報若干倍的單日回報。反向產品的目標一般在提供與產品所追蹤相關指數的單日回報相反的收益。海外市場普遍稱相關產品為槓桿及／或反向交易所買賣基金。

To produce the specified leveraged or inverse return, L&I Products have to rebalance their portfolios, typically on a daily basis. As such, they do not share the buy-to-hold characteristics of conventional ETFs. Investors should understand how the performance of L&I Products is likely to be affected when they are held for more than one trading day and its compounding effect. They should be aware that any small variation in the underlying index return may have a large effect on the value of the product you hold. 為產生特定的槓桿或反向回報，該等產品須經常（一般為每日）調整其投資組合。正因如此，它們不具有傳統交易所買賣基金的“購買而持有”的特點。投資者應了解該等產品的回報在持有超過一天之後的影響和其複式效應，亦應知道其相關指數回報的細小變化可以對該產品的價值產生重大影響。

Investors should note the following salient features about L&I Products 閣下須注意以下關於槓桿產品或反向產品的重點：

- 1) It is not advisable to hold L&I Products for longer than the rebalancing interval, typically one day;  
不建議持有槓桿產品或反向產品超過其調整周期（一般為一天）；
- 2) L&I Products are designed as a trading tool for short-term market timing or hedging purposes, and are not intended for long term investment;  
槓桿產品或反向產品是為作為針對短期市場時機或對沖目的而設的交易工具，並不適宜作為長期持有的投資；
- 3) L&I Products are only suitable for sophisticated trading-oriented investors who constantly monitor the performance of their holdings on a daily basis; and  
槓桿產品或反向產品只適合富有資深經驗及交易導向型的投資者，並且他們經常及每日可以檢視其組合的表現；及
- 4) the performance of L&I Products, when held overnight, may deviate from the underlying indices.  
如隔夜持有槓桿產品或反向產品，其表現可與其相關的指數有所偏離。

The risk of loss in trading in L&I Products is substantial. In particular, they are not suitable for investors who are unfamiliar with the features and risks of L&I Products, as they are designed for daily investment results, and/or investors who are looking for a long-term investment and cannot actively monitor their holdings. 槓桿產品或反向產品交易具有很高的投資損失風險，尤其不適合不熟識槓桿產品或反向產品的特點和風險的投資者，因為該等產品是為即日投資結果而設計的，亦不適合在追求長遠回報的投資者或不能積極檢視其投資組合的投資者。

Therefore, L&I Products are normally not suitable for many members of the public who wish to invest in collective investment schemes or ETFs as a low-risk exchange-listed product in order to diversify their investment risks. The regulatory authorities have, taking into account their special risk profile, prohibited and/ or discouraged the use of margin finance for investment in L&I Products. Investors must carefully consider whether trading is appropriate for you in light of your experience, objectives, financial resources and other relevant circumstances. 因此，對許多欲藉投資集體投資計劃或作為低風險交易所上市產品的交易所買賣基金從而作為分散其投資風險的公眾人士而言，槓桿產品或反向產品一般不適合。監管機構考慮到槓桿產品或反向產品的特殊風險取向，已禁止及／或不鼓勵槓桿產品或反向產品的保證金融資交易。在作出有關的投資決定前，閣下須審慎考慮其經驗、目標、財務狀況及其他相關情況。

Whilst they are listed, there is no assurance that a liquid market always exists for the L&I Products concerned. A higher liquidity risk is involved if the product involves derivatives which do not have an active secondary market. Wider bid-offer spreads in the price of the products may result in losses. Therefore, they can be more difficult and costly to unwind early, when the instruments provide access to a restricted market where liquidity is limited.

雖槓桿產品或反向產品在交易所上市，但並不能保證其市場流通性。若有關產品涉及衍生工具而其沒有二級市場，則相關的流通性風險就更高。買賣差價較大，可導致交易損失。因此，倘若相關投資工具為受限制而流通量少的市場提供投資機會，那麼提早折解相關投資工具將會較困難和昂貴。

There may be disparity between the performance of the L&I Product concerned and the performance of the underlying indices due to, for instance, failure of the tracking strategy, currency differences, fees and expenses. 由於跟蹤策略的失效、貨幣差價、以及費用及支出的原因，槓桿產品或反向產品的表現可以與其相關的指數存有差異。

L&I Products may currently be traded, cleared and settled in Hong Kong dollars, Renminbi and/or US dollars. Investors trading with underlying assets not denominated in Hong Kong dollars are also exposed to exchange rate risk. Currency rate fluctuations can adversely affect the underlying asset value, also affecting the product price. 槓桿產品或反向產品目前可用港元，人民幣或美元交易。投資於以非港元作為計價貨幣的相關資產亦會承受匯率風險。貨幣匯率的變化可以對相關資產的價值有不利影響，從而影響產品的價格。

Like ETFs, the risk of L&I Products can include counterparty risk, market risk, tracking errors, trading at discount or premium, and liquidity risk. 正如 ETFs 一樣，槓桿產品或反向產品的有關風險包括對手方風險、市場風險、追蹤錯誤、以折扣價或溢價交易及流動性的風險。

The specific risks presented by L&I Products necessarily depend upon the terms of the issued product and your circumstances. In general, however, they all involve some combination of market risk, credit risk, funding risk and operational risk. 與槓桿產品或反向產品相關的具體風險必然取決於交易條件以及閣下所處情況。不過整體而言，所有相關產品都或多或少涉及市場風險、信貸風險、融資風險以及操作風險。

1. Market risk is the risk that the value of a transaction will be adversely affected by fluctuations in the level or volatility of or correlation or relationship between one or more market prices, rates or indices or other market factors or by illiquidity in the market for the relevant transaction or in a related market.



市場風險是指由於一個或多個市場價格、利率或指數或者其他市場因素之波動或其等間的關聯性或關係之波動，或者由於相關交易的市場或關聯市場流通性不足，從而導致相關交易價值受到不利影響的風險。

2. Credit risk is the risk that a counterparty will fail to perform its payment or other obligations when due. 信貸風險是指相關交易對手無法按時履行付款或其他責任的風險。
3. Funding risk is the risk that, as a result of mismatches or delays in the timing of cash flows due from or to the counterparties in the relevant transaction in question or related hedging, trading, collateral or other transactions, the parties or a party to the relevant transactions will not have adequate cash available to fund current obligations. 融資風險是指在相關交易或與之相關的對沖、交易、抵押或者其他交易當中，由於由交易對手交付或交付予交易對手的資金流動時機出現錯配或延誤，從而導致交易雙方或一方沒有足夠的現金履行責任的風險。
4. Operational risk is the risk of loss arising from inadequacies in or failures of the issuer's and/or your internal systems and controls for monitoring and quantifying the risks and contractual obligations associated with the transaction in question, for recording and valuing the portfolio and related transactions, or for detecting human error, systems failure or management failure. 操作風險是指由於發行人及/或閣下用作監控及量度相關交易的風險及合約責任、用作記錄及評估投資組合及相關交易，或者用作監察人為錯誤、系統故障或管理不善的內部系統及控制措施存在缺陷或者出現故障，從而導致蒙受損失的風險。

Although L&I Products are listed as ETFs, the HKEX does not endorse any product or bear any responsibility and/or liability for any of their existence or performance. 縱使槓桿產品或反向產品是以交易所買賣基金形式上市，聯交所沒有認可任何產品或就任何產品的存在或其表現負上任何責任及/或法律責任。

You should therefore study and understand L&I Products before you trade and carefully consider whether such trading is suitable in the light of your own financial position and investment objectives. 閣下應當在作出交易前研究和理解槓桿產品或反向產品，基於閣下的財務狀況及投資目標，仔細考慮有關交易是否適合閣下。

This brief statement does not disclose all of the risks and other significant aspects of trading in L&I Products. In light of the risks, you should undertake such transactions only if you understand the nature of the contracts (and contractual relationships) into which you are entering and the extent of your exposure to risk. You should not construe this generic disclosure statement as business, legal, tax or accounting advice or as modifying applicable law. You should consult your own business, legal, tax and accounting advisers with respect to proposed L&I Product transactions and you should refrain from entering into any transaction unless you have fully understood the terms and risks of the transaction, including the extent of your potential risk of loss. 以上所述並非旨在披露與槓桿產品或反向產品交易有關的所有風險及其他重要考慮因素。基於相關風險，閣下只應在充分理解閣下擬進行的交易的合約性質(以及合同關係)下方才進行該等交易。閣下不應將此一般披露聲明視為商業、法律、稅務或會計的意見或者視為對相關法例之修訂。閣下應當就擬進行的槓桿產品或反向產品交易自行諮詢商業、法律、稅務及會計顧問之意見；除非閣下經已完全明白相關交易的條件及風險，包括閣下可能蒙受損失之風險水平，否則閣下不應參與任何交易。

## 7. GENERAL 一般規定

All securities held for client Account shall be subject to a general lien in your favour, for the performance of your obligations to FFCIL arising in respect of dealing in securities for me/us. 所有閣下戶口內的證券均受制於 FFCIL 的全面留置權，以確保閣下履行對 FFCIL 代閣下買賣證券而產生的責任。

If FFCIL fail to meet your obligations to client pursuant to this Agreement, Client shall have a right to claim under the Investor Compensation Fund established under the Securities and Futures Ordinance, subject to the terms of the Compensation Fund from time to time. 倘 FFCIL 沒有依照本協議書的規定履行對閣下的責任，閣下有權向根據《證券及期貨條例》成立的投資者賠償基金索償，惟須受賠償基金不時的條款制約。

FFCIL will notify client of material changes in respect of our business which may affect the services FFCIL provide to client. 倘 FFCIL 的業務有重大變更，並且可能影響 FFCIL 為閣下提供的服務，FFCIL 將會通知閣下。

If FFCIL solicit the sale of or recommend any financial product to you, the financial product (Note) must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document FFCIL may ask you to sign and no statement FFCIL may ask you to make derogates from this clause. 假如 FFCIL 向閣下招攬銷售或建議任何金融產品(註)，該金融產品必須是 FFCIL 經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他 FFCIL 可能要求閣下簽署的文件及 FFCIL 可能要求閣下作出的聲明概不會減損本條款的效力。

Note: "Financial product" means any securities, futures contracts or leveraged foreign exchange contracts as defined under the SFO.  
註：“金融產品”指《證券及期貨條例》所界定的任何證券、期貨合約或槓桿式外匯交易合約。

## 8. PERSONAL DATA PROTECTION STATEMENT 個人資料保障聲明

1. The Client understands that the Client may have been or may in future be requested to supply personal information from time to time to FFCIL relating to the Client, and in the carrying out of transactions contemplated under this Agreement, further information shall or may be collected by FFCIL ("Data"). 客戶明白，客戶過去或日後可能需要不時應要求向 FFCIL 提供個人資料，而在進行本協議預期的交易時，FFCIL 亦必須或可能進一步收集資料。(「資料」)。
2. The Client understands that a request for the Data on the "Account Opening Form" or otherwise shall oblige the Client to complete the same, and any failure so to do may result in the Company being unable to open or continue the Account, or unable to effect transactions under the Account. 客戶明白，如「開戶申請書」或其他文件要求提供資料，客戶則須必填寫資料，否則本公司可能無法開立或維持帳戶，或無法在帳戶進行交易。
3. Purpose of Collection/Use of Personal Data 收集/使用個人資料的目的  
In submitting personal data to FFCIL, you agree that any such data may be collected/ used for the following purposes:  
在向 FFCIL 提交個人資料時，客戶同意所提供之資料可作下列用途：
  - a) giving effect to your order relating to transactions or otherwise, and carrying out your other instructions; 執行與交易或其他方面有關的命令，並執行客戶的其他指示；
  - b) providing services in connection with any account maintained by you with FFCIL; 提供關於帳戶之服務；
  - c) conducting credit enquiries or checks on you and ascertaining your financial situation and investment objectives; 對客戶進行信用查詢或檢查，確定客戶的財務狀況和投資目標；
  - d) collection of amounts due, enforcement of security, charge or other rights and interests in favour of FFCIL; 收取 FFCIL 的到期款項，執行擔保，收費或其他權益；
  - e) marketing existing and future services or products of FFCIL; 推廣 FFCIL 的現有及未來服務或產品；
  - f) observing any legal, regulatory or other requirements to which FFCIL may be subject to; and 遵守規限 FFCIL 或任何其他人士的法律、監管及其他要求；及
  - g) other purposes related or incidental to any one or more of the above. 與以上任何一項或多項用途有關或附帶的其他用途。





**4. Transfer of Personal Data 個人資料的移轉**

Personal data held by FFCIL relating to a data subject will be kept confidential but FFCIL may provide such data received from you to the following parties (whether within or outside Hong Kong):

FFCIL 持有的與資料當事人有關的個人資料將予以保密，但 FFCIL 可能會將從客戶收到之資料，提供予以下人士(無論是在香港境內還是境外):

- any nominees in whose name securities or other assets may be registered; 任何代名人，而證券或其他資產是以該代名人的名義註冊的；
- any contractor, agent or service provider which provides administrative, data processing, financial, computer, telecommunication, payment or securities clearing, financial, professional or other services to FFCIL or to any other person to whom data is passed; 為 FFCIL 或為其他經辦資料之人士提供行政、資料處理、財政、電腦、電訊、付款或證券結算、財務、專業服務或其他服務的任何承辦商，代理人或服務供應商；
- any person with whom FFCIL enters into or proposes to enter into transaction on your behalf or account, or persons representing the same; 代或為客戶與 FFCIL 進行或提議進行交易之任何人士，或代表該等人士之人士；
- any assignee, transferee, participant, sub-participant, delegate or successor in respect of the data subject; 本協議之任何受讓人、承讓人、參與者、次參與者、受委人、繼承人或獲更替本聲明的人士；
- governmental, regulatory or other bodies or institutions, whether as required by law, regulations applicable to FFCIL, or otherwise. 政府、監管機構或其他團體或機構，不論是因為適用於 FFCIL 的法律或規例要求或其他原因。

**5. Transmission of Personal Data 個人資料的傳輸**

There may be instances where data subjects elect to provide personal data to FFCIL through electronic means (such as internet or voice recording system). Whilst FFCIL generally uses best effort to maintain the security and integrity of its systems, due to many unpredictable traffic or other reasons, electronic communication may not be a reliable medium of communication. Data subjects should aware of such weaknesses and communicate personal data through electronic means with caution. 有關選擇通過電子方式(例如互聯網或語音記錄系統)向 FFCIL 提供個人資料的情況。儘管 FFCIL 一向盡最大努力維護其系統的安全性和完整性，但由於許多不可預測的資料傳輸障礙或其他原因，電子通信可能不是可靠的通信媒介。資料當事人在通過電子方式傳達個人資料時應該謹慎地考慮到這些弱點。

**6. Other applicable Personal Data Statement 其他適用的個人資料聲明**

If personal data is collected in an application form of certain activity, such as seminar attendance or for employment, the personal data collection statement in such application form will supplement this Statement. 如果個人資料是以某種活動的申請表格收集的，例如研討會出席或就業，則此申請表中的個人資料收集聲明將補充本聲明。

If you are a client of FFCIL, terms and conditions entered into between you and FFCIL shall apply in respect of the relevant account and will supplement this Statement. You understand that you may have been or may in future be requested to supply personal information from time to time to FFCIL, and in the carrying out of transactions contemplated under any agreements with FFCIL, further information shall or may be collected by FFCIL. 如客戶是 FFCIL 的客戶，客戶與 FFCIL 之間訂立的條款和條件將適用於相關帳戶，並將補充本聲明。客戶瞭解可能已經或可能在將來被要求向 FFCIL 提供個人資料，並且在根據與 FFCIL 的任何協定進行的交易中，FFCIL 應收集或可能收集進一步的資料。

**7. Access and Correction of Personal Data 查閱及改正個人資料**

Under and in accordance with the terms of The Personal Data (Privacy) Ordinance, you have the right to request access to and correction of information about you held by FFCIL. Any such request may be addressed to the Data Protection Officer of First Fidelity Capital (International) Limited at the address of Unit 1405, 14/F, Allied Kajima Building, 138 Gloucester Road, Wanchai, Hong Kong. You understand that a fee shall be charged by FFCIL for any such request. You also understand that a request for the personal data on any request form or otherwise shall oblige you to complete the same, and any failure so to do may result in FFCIL being unable to provide services to you. 根據《個人資料(私隱)條例》的條款，客戶有權要求查閱及改正 FFCIL 持有的客戶相關個人資料。如欲提出上述要求，請致函「香港灣仔告士打道 138 號聯合鹿島大廈 14 樓 1405 室，FFCIL，資料保護主任收」。客戶明白，FFCIL 會就上述要求收取費用。客戶亦瞭解，客戶如未能就個人資料申請要求而提供所需資料，FFCIL 將可能無法向客戶提供相關的服務。

This Agreement is governed by, and may be enforced in accordance with, the laws of the Special Administrative Region of Hong Kong. 本協議書受香港特別行政區法律管轄，並且可以根據香港特別行政區法律執行。

Note: If there is conflict of meaning between the English and Chinese version, the English version shall prevail. 註：中英文如有歧異，一切條文以英文本為準。

<b>Client Signatory 客戶簽署</b>	
Signature 客戶簽名	Signature (Joint Account Holder) 客戶簽名 (聯名帳戶持有人)
Name 客戶姓名	Name 客戶姓名
Date 日期	Date 日期



Internal Use Only 內部專用	
A/C No. 帳戶號碼	
A/C Name 帳戶名稱	
A/C Effective Date 帳戶生效日期	

**ACCOUNT OPENING FORM – INDIVIDUAL / JOINT ACCOUNT**  
**開戶申請書 – 個人 / 聯名帳戶**

**I. Account Type 帳戶類別**

- Cash Securities Account 現金證券帳戶  
 Asset Management Investment Account 資產管理投資專戶  
 Application of Individual Professional Investor 申請成為個人專業投資者

**II. Identity of Client 客戶身份**

- Individual Account 個人戶口  \*Joint Account \*聯名戶口

\* Joint account holder can only be the account holder's family member includes parent, spouse, child, sibling and a partner living in the same household.  
聯名帳戶持有人只能是帳戶持有人的直系親屬包括父母、夫妻、子女、兄弟姊妹、和與帳戶持有人同住之伴侶。  
(Proof of relationship is required 必須提供關係證明文件)

**III. Securities Services 證券服務**

- Hong Kong Stocks 香港股票  
 Discretionary Account Services (for Cash Securities Account) 委託帳戶服務 (適用於現金證券帳戶)  
 Discretionary Investment Management Services (for Asset Management Investment Account) 全權委託投資管理服務 (適用於資產管理投資專戶)

- Electronic Trading Services 電子交易服務

I/We agree to register all existing trading channels to conduct the selected securities services above. I/We have read and agreed to the terms and conditions.  
The account number and password will be sent to my/our registered email. 本人 / 吾等同意登記現行所有交易渠道以辦理上述所選的證券服務。本人 / 吾等已閱讀並同意相關的條款及細則。帳戶號碼及密碼將發送至本人 / 吾等登記之電郵地址。

**IV. Client Information 客戶資料**

	Account Holder 帳戶持有人	Joint Account Holder 聯名帳戶持有人
Title 稱謂	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Miss 小姐	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Miss 小姐
Name in English 英文姓名	Last Name 姓氏	Last Name 姓氏
	First Name 名字	First Name 名字
	Middle Name 中間名	Middle Name 中間名
Name in Chinese 中文姓名		
Identity Document Types 身份證明文件類別	<input type="checkbox"/> HK Permanent ID Card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證 <sup>1</sup> <input type="checkbox"/> National Identity Document 國民身分證明文件 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> HK Permanent ID Card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證 <sup>1</sup> <input type="checkbox"/> National Identity Document 國民身分證明文件 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他：
Identity Document No. 身份證明文件號碼		
Place of Issue 簽發地		
Identity Document Expiry Date 身份證明文件到期日	(dd/mm/yyyy) (日/月/年)      /      /	(dd/mm/yyyy) (日/月/年)      /      /
Date of Birth 出生日期	(dd/mm/yyyy) (日/月/年)      /      /	(dd/mm/yyyy) (日/月/年)      /      /
Place of Birth 出生地點		
Nationality 國籍		
Mobile No. 手提電話	(+      )	(+      )
Home Tel. No. (if any) 住宅電話 (如有)	(+      )	(+      )
Fax No. (if any) 傳真 (如有)	(+      )	(+      )
E-mail Address 電郵地址		

<sup>1</sup> Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。



	Account Holder 帳戶持有人	Joint Account Holder 聯名帳戶持有人
Residential Address 住宅地址 (P.O. Box not accepted) (不接受郵政信箱)		<input type="checkbox"/> Same as Account Holder 與帳戶持有人相同 <input type="checkbox"/> Others 其他：
	Country 國家	
	Post Code 郵遞區號	
Correspondence Address 通訊位址	<input type="checkbox"/> Same as Residential Address 與住宅地址相同 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> Same as Account Holder 與帳戶持有人相同 <input type="checkbox"/> Others 其他：
Education Level 教育程度	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary or Post-secondary 中學或專上學院 <input type="checkbox"/> University or Above / Professional Qualifications 大學或以上 / 專業資格	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary or Post-secondary 中學或專上學院 <input type="checkbox"/> University or Above / Professional Qualifications 大學或以上 / 專業資格
Purpose of Account Opening 開戶目的	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others 其他：_____	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others 其他：_____
U.S. citizen or a U.S. tax resident 美國公民或美國稅務居民	<input type="checkbox"/> Yes 是 (Please fill in Form 請填寫表格 W9) <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 (Please fill in Form 請填寫表格 W9) <input type="checkbox"/> No 否
Relationship with Account Holder 與帳戶持有人之關係	N/A 不適用	

**V. Employment Status 就業狀況**

	Account Holder 帳戶持有人	Joint Account Holder 聯名帳戶持有人
Employment Status 就業狀況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <sup>2</sup> <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 失業 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <sup>2</sup> <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 失業 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生
Name of Employer 受僱公司名稱		
Nature of Business 業務性質		
Position 職位		
Years of Service 服務年數		
Business Address 公司地址		
Office Tel. No. 辦公室電話	(+      )	(+      )
Company Website 公司網頁		

**VI. Bank Account Information 銀行帳戶資料 (For direct deposit & withdrawal 直接存款及提款之用)**

Bank Name 銀行名稱		SWIFT Code 銀行國際代碼
Bank Account Name <sup>3</sup> 銀行帳戶名稱 <sup>3</sup>		
Bank Account Number 銀行帳戶號碼		Currency 貨幣

<sup>2</sup> Please provide information for self-employed business nature. 請提供自僱業務性質的資料。

<sup>3</sup> Please provide bank proof showing the bank account name and number (e.g. bank statement, ATM card). 請提供顯示銀行帳戶名稱及號碼之證明文件 (如銀行結單或提款卡)。



VII. Financial Information 財務資料摘要

	Account Holder 帳戶持有人	Joint Account Holder 聯名帳戶持有人
Annual Income (HKD) 每年總收入(港元)	<input type="checkbox"/> below \$200,000 或以下 <input type="checkbox"/> \$200,001 to 至 \$500,000 <input type="checkbox"/> \$500,001 to 至 \$1,000,000 <input type="checkbox"/> \$1,000,001 to 至 \$1,500,000 <input type="checkbox"/> \$1,500,001 or above 或以上	<input type="checkbox"/> below \$200,000 或以下 <input type="checkbox"/> \$200,001 to 至 \$500,000 <input type="checkbox"/> \$500,001 to 至 \$1,000,000 <input type="checkbox"/> \$1,000,001 to 至 \$1,500,000 <input type="checkbox"/> \$1,500,001 or above 或以上
Source of Fund 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Commission/Business Income 佣金/生意收入 <input type="checkbox"/> Pension/Reserve 退休金/儲備 <input type="checkbox"/> Return on Investment 投資收益 <input type="checkbox"/> Earning Given by Spouse 配偶給予的收入 <input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Commission/Business Income 佣金/生意收入 <input type="checkbox"/> Pension/Reserve 退休金/儲備 <input type="checkbox"/> Return on Investment 投資收益 <input type="checkbox"/> Earning Given by Spouse 配偶給予的收入 <input type="checkbox"/> Others 其他: _____
Source of Wealth 財富來源	<input type="checkbox"/> Salary and/or Bonus 受僱薪金或花紅 <input type="checkbox"/> Investment/Saving 投資/儲蓄 <input type="checkbox"/> Sale of Property/Assets 售賣物業/資產 <input type="checkbox"/> Inheritance 承繼遺產 <input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> Salary and/or Bonus 受僱薪金或花紅 <input type="checkbox"/> Investment/Saving 投資/儲蓄 <input type="checkbox"/> Sale of Property/Assets 售賣物業/資產 <input type="checkbox"/> Inheritance 承繼遺產 <input type="checkbox"/> Others 其他: _____
Liquid Assets Held (HKD) (including Cash, Deposit and short-term investments etc.) 持有之流動資產(港元) (包括現金、存款及短期投資等)	<input type="checkbox"/> \$100,000 or below 或以下 <input type="checkbox"/> \$100,000 to 至 \$500,000 <input type="checkbox"/> \$500,001 to 至 \$1,000,000 <input type="checkbox"/> \$1,000,001 to 至 \$3,000,000 <input type="checkbox"/> \$3,000,001 to 至 \$5,000,000 <input type="checkbox"/> \$5,000,001 or above 或更多	<input type="checkbox"/> \$100,000 or below 或以下 <input type="checkbox"/> \$100,000 to 至 \$500,000 <input type="checkbox"/> \$500,001 to 至 \$1,000,000 <input type="checkbox"/> \$1,000,001 to 至 \$3,000,000 <input type="checkbox"/> \$3,000,001 to 至 \$5,000,000 <input type="checkbox"/> \$5,000,001 or above 或更多
Ownership of Residence 住屋業權	<input type="checkbox"/> Owned 自置 <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Mortgaged, monthly instalment (HKD): 按揭, 每月供款(港元): _____ <input type="checkbox"/> Rented, monthly rental: 租用物業, 每月租金: _____ <input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> Owned 自置 <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Mortgaged, monthly instalment (HKD): 按揭, 每月供款(港元): _____ <input type="checkbox"/> Rented, monthly rental: 租用物業, 每月租金: _____ <input type="checkbox"/> Others 其他: _____

VIII. Investment Experience & Derivative Products Knowledge 投資經驗及衍生產品認識

	Account Holder 帳戶持有人	Joint Account Holder 聯名帳戶持有人
Investment Objective 投資目標	<input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Capital Appreciation 資產增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Capital Appreciation 資產增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Others 其他: _____
Investment Experience 投資經驗	<input type="checkbox"/> None 沒有 <input type="checkbox"/> Listed Stocks 上市證券 Year(s) 年數 ( ) <input type="checkbox"/> CBBs / Warrants 牛熊證 / 窩輪 Year(s) 年數 ( ) <input type="checkbox"/> Exchange Traded Fund 交易所買賣基金 Year(s) 年數 ( ) <input type="checkbox"/> Futures and Options 期貨及期權合約 Year(s) 年數 ( ) <input type="checkbox"/> Structured Products 結構性產品 Year(s) 年數 ( ) <input type="checkbox"/> Others 其他: Year(s) 年數 ( )	<input type="checkbox"/> None 沒有 <input type="checkbox"/> Listed Stocks 上市證券 Year(s) 年數 ( ) <input type="checkbox"/> CBBs / Warrants 牛熊證 / 窩輪 Year(s) 年數 ( ) <input type="checkbox"/> Exchange Traded Fund 交易所買賣基金 Year(s) 年數 ( ) <input type="checkbox"/> Futures and Options 期貨及期權合約 Year(s) 年數 ( ) <input type="checkbox"/> Structured Products 結構性產品 Year(s) 年數 ( ) <input type="checkbox"/> Others 其他: Year(s) 年數 ( )
Risk Tolerance 可承受風險	<input type="checkbox"/> Low Risk 低風險 <input type="checkbox"/> Medium Risk 中等風險 <input type="checkbox"/> High Risk 高風險 Do you intend to buy Medium-risk or High-risk categories products? 客戶是否有意購買中等風險或高風險類別產品? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Knowledge of Derivative Products 有關衍生產品之認識	<input type="checkbox"/> I have NO knowledge of derivative products. 本人並未有衍生產品之認識。 <b>OR 或</b> I understand the nature and risks of derivative products by having 本人經以下途徑了解衍生產品的性質和風險: <input type="checkbox"/> undergone training or attending courses or seminars that provide general knowledge of the nature and risks of derivative product(s) 已接受有關介紹一般衍生產品之性質及風險的培訓或課程 Please specify 請註明: _____	<input type="checkbox"/> I have NO knowledge of derivative products. 本人並未有衍生產品之認識。 <b>OR 或</b> I understand the nature and risks of derivative products by having 本人經以下途徑了解衍生產品的性質和風險: <input type="checkbox"/> undergone training or attending courses or seminars that provide general knowledge of the nature and risks of derivative product(s) 已接受有關介紹一般衍生產品之性質及風險的培訓或課程 Please specify 請註明: _____



	Account Holder 帳戶持有人	Joint Account Holder 聯名帳戶持有人
	<input type="checkbox"/> current or previous work experience related to derivative products 現時擁有或過去曾擁有與衍生產品有關之工作經驗 Name of employer 僱主名稱：_____ Service period: 在職時期：_____ <input type="checkbox"/> executed five or more transactions in derivative products within the past three years 本人曾於過去三年內曾執行過五次或以上有關衍生產品之交易	<input type="checkbox"/> current or previous work experience related to derivative products 現時擁有或過去曾擁有與衍生產品有關之工作經驗 Name of employer 僱主名稱：_____ Service period: 在職時期：_____ <input type="checkbox"/> executed five or more transactions in derivative products within the past three years 本人曾於過去三年內曾執行過五次或以上有關衍生產品之交易

**IX. Disclosure of Identity 相關身份披露**

	Account Holder 帳戶持有人	Joint Account Holder 聯名帳戶持有人
Are you a SFC licensed or registered person, or a director or an employee of any licensed corporation or registered institution? 閣下是否證監會的持牌或註冊人仕，或任何持牌法團或註冊機構之董事或職員？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， Name of licensed corporation / registered institution 持牌法團 / 註冊機構名稱：_____ Your CE No. 你的中央編號：_____ (Please provide employer's written consent letter) (請提供僱主之書面同意書)	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， Name of licensed corporation / registered institution 持牌法團 / 註冊機構名稱：_____ Your CE No. 你的中央編號：_____ (Please provide employer's written consent letter) (請提供僱主之書面同意書)
Are you a senior management or director of any listed company whose shares are traded on any exchange or market? 您是在任何交易所或市場上交易股票的任何上市公司的高級管理人員或董事嗎？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， Listed Company Name 上市公司名稱：_____ Stock Code 股份代號：_____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， Listed Company Name 上市公司名稱：_____ Stock Code 股份代號：_____
Have you been arrested / tried / sentenced / disciplined for illegal activities or violating regulatory requirements? 您是否曾經涉及違法或違反監管守則而被捕 / 受審 / 被判刑 / 被紀律處分？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， please specify 請說明：_____ _____ _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， please specify 請說明：_____ _____ _____
Are you or your immediate family members Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation? 您或您的直系親屬是否政治人物或與其有關連之人士、高級政府官員或國有企業高級行政人員？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, name of the PEP 是，政治人物名稱：_____ Place and public function entrusted with 地方及所擔任的公職：_____ Term of the public function entrusted with 所擔任的公職年期：_____ Relationship with you 與閣下之關係：_____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, name of the PEP 是，政治人物名稱：_____ Place and public function entrusted with 地方及所擔任的公職：_____ Term of the public function entrusted with 所擔任的公職年期：_____ Relationship with you 與閣下之關係：_____
Are you an employee of FFCIL? 你是否 FFCIL 的僱員？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是
Are you related to any employee or director or licensed person of FFCIL? 你是否 FFCIL 僱員/董事/持牌人士的親屬？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， Name of staff 僱員姓名：_____ Relationship 關係：_____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， Name of staff 僱員姓名：_____ Relationship 關係：_____
Are you an existing client of FFCIL? 客戶是否 FFCIL 之現有客戶？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， Account Name 帳戶名稱：_____ Account No. 帳戶號碼：_____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， Account Name 帳戶名稱：_____ Account No. 帳戶號碼：_____

**X. Ultimate Beneficial Owner 帳戶最終權益擁有人身份**

Are you the ultimate beneficial owner(s) of this Account? 你是否此帳戶的最終受益人？ <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (Please provide the ultimate beneficial owner details as follows 請於下面填寫該最終受益人之資料)	
Name 姓名	ID/ Passport No. & Place of Issue 身份證/護照號碼及簽發地
Residential Address 住宅地址	
Tel. No. 電話號碼 (+ )	Signature 簽名
Is the ultimate beneficial owner U.S. citizen or a U.S. tax resident? 最終受益人是否美國公民或就稅務目的而言的居民？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	



**XI. Tax Residency 稅務居民資料**

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide **ALL** of your jurisdiction of residence where the account holder(s) is a resident for tax purposes and Taxpayer Identification Number or its Functional Equivalent (“TIN”) for each jurisdiction indicated. 根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供**所有**的居留司法管轄區（即稅務管轄區）及該居留司法管轄區發給賬戶持有人的稅務編號。

If a TIN is unavailable, provide an appropriate reason 如沒有提供稅務編號，必須填寫合適的理由：

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
理由 A - 賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.  
理由 B - 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.  
理由 C - 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

	Account Holder 帳戶持有人	Joint Account Holder 聯名帳戶持有人
Are you tax resident of Hong Kong? 閣下是否為香港稅務居民?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是
Are you tax resident of jurisdictions other than Hong Kong? <sup>4</sup> 客戶是否香港以外司法管轄區的稅務居民? <sup>4</sup>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (complete the below table 請填妥下表)	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Complete the below table 請填妥下表)
	Jurisdiction of Residence 居留司法管轄區	Jurisdiction of Residence 居留司法管轄區
	TIN 稅務編號	TIN 稅務編號
	No TIN Reason 沒有稅務編號理由 <input type="checkbox"/> Reason 原因 A ; OR 或 <input type="checkbox"/> Reason 原因 B ; OR 或 <input type="checkbox"/> Reason 原因 C	No TIN Reason 沒有稅務編號理由 <input type="checkbox"/> Reason 原因 A ; OR 或 <input type="checkbox"/> Reason 原因 B ; OR 或 <input type="checkbox"/> Reason 原因 C
	Explanation of Reason B Selected 選取理由 B 的原因	Explanation of Reason B Selected 選取理由 B 的原因

**DECLARATIONS 聲明**

- (i) I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder(s) and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder(s) may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).  
本人/吾等知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b)把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。
- (ii) I/We certify that I/We am/are the account holder(s) of all the account(s) to which this form relates.  
本人/吾等證明，就與本表格所有相關的帳戶，本人/吾等是帳戶持有人。
- (iii) I/We undertake to advise FFCIL of any change in circumstances which affects the tax residency status of myself or causes the information contained herein to become incorrect, and to provide FFCIL with a suitably updated self-certification form within 30 days of such change in circumstances.  
本人/吾等承諾，如情況有所改變，以致影響本人/吾等的個人的稅務居民身分，或引致本表格所載的資料不正確，本人/吾等會通知 FFCIL，並會在情況發生改變後 30 日內，向 FFCIL 交一份已適當更新的自我證明表格。 **AND 及**
- (iv) I/We declare that the information given and statements made are, to the best of my/our knowledge and belief, true, correct and complete.  
本人/吾等聲明就本人/吾等所知所信，所填報的所有資料和聲明均屬真實、正確和完備。

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

**警告：** 根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

**XII. Method of Communication 通訊方法**

Statements & Notices 結單單據	<input type="checkbox"/> Designated E-mail address 指定電子郵箱	<input type="checkbox"/> By Post to Correspondence Address 郵寄至通訊地址	
Choice of Language 語言選擇	<input type="checkbox"/> English 英文	<input type="checkbox"/> Traditional Chinese 繁體中文	<input type="checkbox"/> Simplified Chinese 簡體中文

**XIII. Other Information 其他資料**

How did you learn about FFCIL? 客戶從何處認識 FFCIL?

Referral 親友轉介     Walk-in 自薦     Seminar 講座     Websites 網站     Others 其他: \_\_\_\_\_

<sup>4</sup> If there is insufficient space, please attach and sign “Self-Certification Form - Individual”. 若空格不敷使用，請另附「自我證明表格－個人」及簽署。



**XIV. Acknowledgement and Declaration by Client 客戶確認及聲明**

- (1) I/We request FFCIL to open a Cash Securities Account (the "Account"). I/We have read and understood the provisions of the current version of the Terms and Conditions of Client's Agreement (the "Agreement") of FFCIL of which this account opening form forms an integral part of the Agreement and I/we hereby agree to be bound by the Agreement as a whole (receipt of a copy whereof is hereby acknowledged by us) as the same may be amended from time to time. 本人/吾等向 FFCIL 申請開立現金證券帳戶(「帳戶」)。本人/吾等已閱讀過及明白 FFCIL 現行版本的客戶協議書(「協議書」)之服務條款及細則，而本開戶表格構成協議書的一部分(謹此聲明本人/吾等已收受其副本)；本人/吾等在此同意受可不時被修改的協議書之整體所約束。
- (2) (Applicable to Discretionary Account Services) I/We request FFCIL to provide discretionary account services. I/We have read and understood the provisions of the Discretionary Account Agreement ("DA Agreement") of which this Account Opening Form forms an integral part of the DA Agreement and we hereby agree to be bound by the DA Agreement as a whole as the same may be amended from time to time. (申請委託帳戶服務適用) 本人/吾等向 FFCIL 申請提供委託帳戶服務。本人/吾等已閱讀過及明白全權委託帳戶協議(「委託協議」)，而本開戶表格構成委託協議的一部分；本人/吾等在此同意受可不時被修改的委託協議之整體所約束。
- (3) (Applicable to Discretionary Investment Management Services) I/We request FFCIL to provide discretionary investment management services. I/We have read and understood the provisions of the Discretionary Investment Management Agreement ("DIM Agreement") of which this Account Opening Form forms an integral part of the DIM Agreement and we hereby agree to be bound by the DIM Agreement as a whole as the same may be amended from time to time. (申請全權委託投資管理服務適用) 本人/吾等向 FFCIL 申請提供全權委託投資管理服務。本人/吾等已閱讀過及明白全權委託投資管理協議，而本開戶表格構成全權委託投資管理協議的一部分；本人/吾等在此同意受可不時被修改的委託協議之整體所約束。
- (4) I/We hereby declare that the information on this Account Opening Form and relevant forms and documents provided in connection with this application is true, complete and correct and that I/We have not wilfully withheld any material fact(s). I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by FFCIL. I/We confirm that I/we will update FFCIL immediately on any changes. FFCIL is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any changes. FFCIL is authorized at any time to contact anyone, including my/our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. 本人/吾等謹此聲明開戶申請書及相關表格所提供之資料全部為真實、完整及正確，本人/吾等並未刻意隱瞞任何重要事實。本人/吾等清楚 FFCIL 也許要求本人/吾等提供更多相關的資料或證明文件。本人/吾等確認如所提供之資料有任何更改，均會立刻通知 FFCIL。除非 FFCIL 接到更改有關本開戶表格內容的書面通知，否則 FFCIL 有權完全依賴此等資料及聲明作一切用途。FFCIL 獲授權可隨時就核對本人/吾等資料事宜，與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。
- (5) I/We agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges. 本人/吾等在此同意遵守香港聯合交易所有限公司及其他監管機構不時修訂以監管於聯交所或其他交易所進行證券買賣之條例及規則。
- (6) Pursuant to FATCA or applicable local laws, I/We hereby consent to FFCIL to report my personal data to the U.S. applicable local regulators or tax authorities where necessary in order to comply with FATCA or applicable local laws.  
根據 FATCA 或相關當地法律，本人/吾等同意 FFCIL 彙報我的個人資料到美國或適用的當地監管機構或稅務機關，並在必要時為符合 FATCA 或適用的當地法律。
- (7) I/We agree and confirm the Specimen Signature(s) herein under will be used to verify all written instructions given relating to the operation of the Account(s). 本人/吾等同意並確定下列簽署式樣將被用作核證任何就帳戶運作之書面指示。
- (8) I/We acknowledge that if I/we decide to trade Derivatives Products/Bonds, I/we agree to bear the risks involved. I/We confirm that we shall make my/our own risk assessment or seek independent professional advice and I/we have sufficient net worth to be able to assume the risks and bear the potential losses of trading Derivatives Products/Bonds. I/We understand that FFCIL does not encourage clients to trade Derivatives Products/Bonds if clients do not have any knowledge or experience in Derivatives Products. 本人/吾等確認如本人/吾等決定買賣該等衍生工具產品/債券時，本人/吾等同意承擔有關風險。本人/吾等確認，在買賣衍生工具產品/債券前，本人/吾等將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本人/吾等明白，如客戶並沒有衍生工具產品/債券的知識或經驗，FFCIL 並不鼓勵客戶進行衍生工具產品/債券買賣。
- (9) I/We understand that my/our submission of this Account Opening Form and the acceptance of this Account Opening Form by FFCIL in no way implies approval for opening of an account for me/us and that FFCIL may reserve the right to reject our application. 本人/吾等明白本人/吾等遞交此表格及 FFCIL 接納此表格並非表示 FFCIL 同意開立交易帳戶，並清楚 FFCIL 保留拒絕本人/吾等開戶申請之權力。
- I/We, the undersigned Client(s), acknowledge and confirm that I/we have read and understood and accepted the provisions of the Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, and agree to be bound by each of the above as amended and/or supplemented from time to time. I/We have been referred to the Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, in both English and Chinese and have been explained by a staff named below in a language of my/our choice and that I am /we are invited to read the Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, ask questions and take independent advice if I/we wish. 本人/吾等為下述簽署客戶已閱讀過、明白及接受貴公司附上的客戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明，並且同意受不時經修改及/或補充的該等文件所約束。本人/吾等並已獲展示中英文本的客戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明，及獲以下職員按照本人/吾等所選擇的語言解釋明白；及本人/吾等已獲邀閱讀客戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明，提出問題及徵求獨立的意見(如本人/吾等有此意願)。
- I/We do not wish FFCIL to use my/our personal data for direct marketing purpose. 本人/吾等不欲 FFCIL 使用本人/吾等的個人資料作直銷推廣用途。

Signature 客戶簽名	Signature (Joint Account Holder) 客戶簽名(聯名帳戶持有人)
Name 客戶姓名	Name 客戶姓名
Date 日期	Date 日期
For Joint Account Only 聯名帳戶適用	<input checked="" type="checkbox"/> <b>EACH ONE</b> of the account holders is authorized to give verbal/written instructions and/or instruction through the Electronic Services (where applicable) in relation to the purchase or sale of any securities for the account from time to time. 以上 <b>每一位</b> 帳戶持有人均有權為帳戶買賣任何證券而不時發出口頭/書面指示及/或透過電子服務(如適用)發出指示； <b>AND 及</b> <input type="checkbox"/> In relation to the operation of the account, all written instructions of the account should be <b>singly signed</b> by either one of the account holders 就帳戶運作方面，所有帳戶書面指示須由其中一位帳戶持有人 <b>單獨簽署</b> ； <b>OR 或</b> <input type="checkbox"/> In relation to the operation of the account, all written instructions of the account should be <b>jointly signed</b> by both account holders 就帳戶運作方面，所有帳戶書面指示須由兩位帳戶持有人 <b>同時簽署</b>



**Declaration by Staff / Licensed Representative 職員 / 持牌代表的聲明**

I confirm that I have provided the Risk Disclosure Statements in the language of the Customer's choice (English or Chinese) and that I have invited the Customer to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if the customer wishes. 本人確認已按照客戶所選擇的語言提供及解釋上述之風險披露聲明；及邀請客戶閱讀上述風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。

Signature of Staff / Licensed Representative 職員 / 持牌代表簽署	Name of Staff / Licensed Representative 職員/持牌代表名稱
	CE No. 中央編號
Date 日期	Channel 途徑 <input type="checkbox"/> In Person 見證 <input type="checkbox"/> By Phone 電話 (        hh :        mm)

\*\*\*\*\* FOR INTERNAL USE ONLY \*\*\*\*\*

Documents Checklist			Non-Face-To-Face Account Opening	
	Yes	N/A	Non-face-to-face account opening:	
1. Copy of permanent HKID/ valid PRC ID / valid passport	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Witness by professional person	
2. Copy of non-permanent HKID + Passport	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> License proof / name card	
3. Copy of residential address proof (within the latest 3 months)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Crossed Personal Cheque	
4. Copy of the bank proof	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> issued from a licensed bank in Hong Kong	
5. Employer consent letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> payable to "First Fidelity Capital (International) Limited"	
			<input type="checkbox"/> cheque amount not less than HK\$10,000	
			<input type="checkbox"/> client name(s) shown on cheque	
			<input type="checkbox"/> same signature on cheque and Account Opening Form	
Documents Reviewed by				
Name of Staff			Signature of Staff	
Date				
Accepted and Approved by				
Name of Responsible Officer			Signature of Responsible Officer	
Date				
Commission & AE Details				
HKD Brokerage (%)	HKD Minimum Commission		Name of AE	
USD Brokerage (%)	USD Minimum Commission		Code of AE	
Remarks				





**Account Opening Checklist - Individual / Joint Account**  
**開立賬戶核對清單 - 個人 / 聯名賬戶**

**Account Opening Documents 開戶文件**

- The completed and signed Client's Agreement and Account Opening Form (Individual / Joint Account)  
已填妥並簽署之客戶協議書及開戶申請書 (個人 / 聯名帳戶)
- The signed Consent Letter for Personal Data Processing - Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime 已簽署之香港投資者識別碼制度及場外證券交易匯報制度 – 個人資料使用同意書
- (for Professional Investor) Application for Treatment as Individual Professional Investor  
(適用於專業投資者) 個人專業投資者申請書
- (for Professional Investor and/or Asset Management Investment Account) Risk Profile Questionnaire (Individual / Joint Account)  
(適用於專業投資者及/或資產管理投資專戶) 風險取向問卷 (個人 / 聯名帳戶)
- (for Asset Management Investment Account applying Discretionary Investment Management Services) Discretionary Investment Management Agreement  
(適用於資產管理投資專戶申請全權委託投資管理服務) 全權委託投資管理協議
- (for Cash Securities Account applying Discretionary Account Services) Discretionary Account Agreement  
(適用現金證券帳戶申請委託帳戶服務) 全權委託帳戶協議
- (if applicable) Form W-9  
(如適用) W-9 表格

**Basic Documents Required 基本所需文件**

- Copy of Identity Documents 身份證明文件副本
  - (Hong Kong permanent residents) Copy of Permanent Identity Card  
(香港永久居民) 永久居民身份證副本
  - (Hong Kong residents) Copy of Identity Card AND valid Passport  
(香港居民) 居民身份證副本 及 有效護照
  - (Mainland residents) Identity Card (front & back sides)  
(中國內地居民) 身份證 (正面及背面)
  - (Overseas nationals) Valid Passport  
(海外居民) 有效護照
- Proof of residential address (within the latest 3 months): utility statement, bank statement etc. (P.O. box not accepted)  
住宅地址證明(最近三個月內): 銀行結單或公共服務單據等副本 (郵政信箱恕不接受)
- Bank proof: Copy of bank passbook or ATM card with name of the account holder and account number  
銀行證明: 顯示帳戶持有人及帳戶號碼的銀行存摺首頁或提款卡的副本

**Additional Documents (for NON-IN PERSON Account Opening) 附加文件 (適用於非親臨開戶)**

**1. Arrange Witness Signature 安排見證人簽署**

- Arrange witness\* to sign on ALL copy of documents required as **certify true copy**  
安排見證人\*於所有所需文件上簽署為**認證副本**
  - \* The qualified witnesses include SFC licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary. 見證人必須為證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書。
- (For non SFC licensed person) License proof or name card of the witnessing professional  
(適用於非證監會持牌人) 見證人之持牌證書或卡片

**OR 或**

**2. Attached Cheque a Licensed Bank in Hong Kong 附上香港持牌銀行支票**

- A cheque with amount not be less than HKD10,000  
支票金額不少於港幣 10,000 元
- Cheque should be issued by a Hong Kong licensed bank  
支票須為香港持牌銀行所簽發
- Cheque should bear your name identical to your identity documents / account name  
支票上必須印有開戶申請人之名稱 (須與身份證明文件上之名稱相同) / 帳戶名稱
- Signature on the cheque must be IDENTICAL to the signature shown on the Account Opening Form  
支票簽名與開戶申請書上的簽名亦須**完全相同**
- Cheque should be made payable to "First Fidelity Capital (International) Limited – Segregated Client Account"  
支票抬頭為: 「First Fidelity Capital (International) Limited – Segregated Client Account」

Note: The new account will not be activated until the cheque is cleared. The cleared fund will be available in your new account.  
註: 待清算支票後才可使用新帳戶, 而該款項將存入客戶於本公司之證券買賣賬戶內。